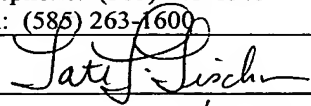


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		Filing Date	March 9, 2004
		First Named Inventor	Swihart
		Group Art Unit	2812
		Examiner Name	Unknown
Total Number of Pages in This Submission	6	Attorney Docket Number	19226/2282 (R-5782)

ENCLOSURES (check all that apply)		
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Tate Tischner Nixon Peabody LLP Clinton Square, P.O. Box 31051 Rochester, New York 14603-1051 Telephone: (585) 263-1363 Fax: (585) 263-1600
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	Application Number	10/796,442	
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Date	7/30/04	

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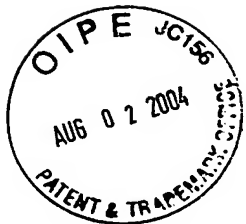
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Typed or printed name



PATENT
Docket No.: 19226/2282 (R-5782)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Swihart et al.

Serial No. : 10/796,442

Cnfrm. No. : 1817

Filed : March 9, 2004

For : PROCESS FOR PREPARING LUMINESCENT
SILICON NANOPARTICLES

Examiner:

Art Unit:
2812

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UNDER 37 CFR §§ 1.97-1.98

Mail Stop Amendment

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR §§ 1.97-1.98, applicant hereby brings to the attention of the United States Patent and Trademark Office, the enclosed references listed on the attached PTO-1449 form. Copies of the non-U.S. Patent references are provided.

Pursuant to 37 CFR § 1.97(b)(3), no fee is required. Should it be determined that a fee is required, however, the Commissioner is authorized to charge that fee to Deposit Account No. 14-1138.

Respectfully submitted,

Date: 7/30/04

Tate Tischner
Registration No. 56,048

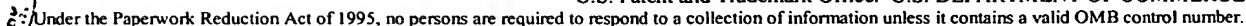
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Complete if Known

Application Number	10/796,442
Filing Date	March 9, 2004
First Named Inventor	Swihart et al.
Art Unit	2812
Examiner Name	To Be Assigned
Attorney Docket Number	19226/2282 (R-5782)

Sheet	1	of	4
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U.S. PATENT DOCUMENTS

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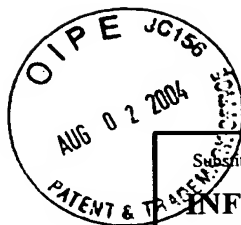
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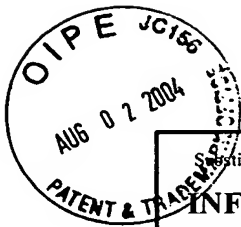
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known			
				Application Number		10/796,442	
				Filing Date		March 9, 2004	
				First Named Inventor		Swihart et al.	
				Group Art Unit		2812	
				Examiner Name		To Be Assigned	
Sheet	2	of	4	Attorney Docket Number		19226/2282 (R-5782)	

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	3	Ostraat et al., "Ultraclean Two-Stage Aerosol Reactor for Production of Oxide-Passivated Silicon Nanoparticles for Novel Memory Devices," <i>J. Electrochem. Soc.</i> 148:G265-G270 (2001)	
	4	Ostraat et al., "Synthesis and Characterization of Aerosol Silicon Nanocrystal Nonvolatile Floating-Gate Memory Devices," <i>Applied Physics Letters</i> 79:433-435 (2001)	
	5	Ding et al., "Electrochemistry and Electrogenenerated Chemiluminescence from Silicon Nanocrystal Quantum Dots," <i>Science</i> 296:1293-1297 (2002)	
	6	Brus, "Luminescence of Silicon Materials: Chains, Sheets, Nanocrystals, Nanowires, Microcrystals, and Porous Silicon," <i>J. Phys. Chem.</i> 98:3575-3581 (1994)	
	7	Brus et al., "Electronic Spectroscopy and Photophysics of Si Nanocrystals: Relationship to Bulk c-Si and Porous Si," <i>J. Am. Chem. Soc.</i> 117:2915-2922 (1995)	
	8	Nayfeh et al., "Stimulated Blue Emission in Reconstituted Films of Ultrasmall Silicon Nanoparticles," <i>Applied Physics Letters</i> 78:1131-1133 (2001)	
	9	Holmes et al., "Highly Luminescent Silicon Nanocrystals with Discrete Optical Transitions," <i>J. Am. Chem. Soc.</i> 123:3743-3748 (2001)	
	10	English et al., "Size Tunable Visible Luminescence from Individual Organic Monolayer Stabilized Silicon Nanocrystal Quantum Dots," <i>Nano Letters</i> 2:681-685 (2002)	
	11	Baldwin et al., "Solution Reduction Synthesis of Surface Stabilized Silicon Nanoparticles," <i>Chem. Commun.</i> 1822-1823 (2002)	
	12	Heath, "A Liquid-Solution-Phase Synthesis of Crystalline Silicon," <i>Science</i> 258:1131-1133 (1992)	
	13	Belomoin et al., "Observation of a Magic Discrete Family of Ultrabright Si Nanoparticles," <i>Applied Physics Letters</i> 80:841-843 (2002)	
	14	Nayfeh et al., "Second Harmonic Generation in Microcrystallite Films of Ultrasmall Si Nanoparticles," <i>Applied Physics Letters</i> 77:4086-4088 (2000)	

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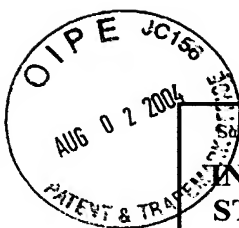
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				Application Number		10/796,442	
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				First Named Inventor		Swihart et al.	
				Group Art Unit		2812	
				Examiner Name		To Be Assigned	
Sheet	3	of	4	Attorney Docket Number		19226/2282 (R-5782)	

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Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T ²
	15	Bley et al., "A Low-Temperature Solution Phase Route for the Synthesis of Silicon Nanoclusters," <i>J. Am. Chem. Soc.</i> 118:12461-12462 (1996)		
	16	Liu et al., "A New Synthetic Route for the Synthesis of Hydrogen Terminated Silicon Nanoparticles," <i>Materials Science and Engineering</i> B96:72-75 (2002)		
	17	Mayeri et al., "NMR Study of the Synthesis of Alkyl-Terminated Silicon Nanoparticles from the Reaction of SiCl ₄ with the Zintl Salt, NaSi," <i>Chem. Mater.</i> 13:765-770 (2001)		
	18	Lam et al., "Large-Scale Synthesis of Ultrafine Si Nanoparticles by Ball Milling," <i>Journal of Crystal Growth</i> 220:466-470 (2000)		
	19	Borsella et al., "Optical and Morphological Characterization of Si Nanocrystals/Silica Composites Prepared by Sol-gel Processing," <i>Materials Science and Engineering</i> B79:55-62 (2001)		
	20	Botti et al., "Photoluminescence from Silicon Nano-Particles Synthesized by Laser-Induced Decomposition of Silane," <i>Journal of Applied Physics</i> 88:3396-3401 (2000)		
	21	Ehbrecht et al., "Photoluminescence and Resonant Raman Spectra of Silicon Films Produced by Size-Selected Cluster Beam Deposition," <i>Physical Review</i> 56:6958-6964 (1997)		
	22	Huisken et al., "Structured Films of Light-Emitting Silicon Nanoparticles Produced by Cluster Beam Deposition," <i>Applied Physics Letters</i> 74:3776-3778 (1999)		
	23	Ledoux et al., "Photoluminescence of Size-Separated Silicon Nanocrystals: Confirmation of Quantum Confinement," <i>Applied Physics Letters</i> 80:4834-4836 (2002)		
	24	Ledoux et al., "Effect of Passivation and Aging on the Photoluminescence of Silicon Nanocrystals," <i>Applied Physics Letters</i> 79:4028-4030 (2001)		
	25	Seraphin et al., "Influence of Nanostructure Size on the Luminescence Behavior of Silicon Nanoparticle Thin Films," <i>Journal of Materials Research</i> 12:3386-3392 (1997)		
	26	Wilson et al., "Quantum Confinement in Size-Selected, Surface-Oxidized Silicon Nanocrystals," <i>Science</i> 262:1242-1244 (1993)		

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				Filing Date	March 9, 2004
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				Group Art Unit	2812
				Examiner Name	To Be Assigned
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	27	Littau et al., "A Luminescent Silicon Nanocrystal Colloid via a High-Temperature Aerosol Reaction," <i>J. Phys. Chem.</i> 97:1224-1230 (1993)		
	28	Higashi et al., "Comparison of Si(111) Surfaces Prepared Using Aqueous Solutions of NH ₄ F versus HF," <i>Appl. Phys. Lett.</i> 58:1656-1658 (1991)		
	29	Lie et al., "Preparation and Characterisation of Luminescent Alkylated-Silicon Quantum Dots," <i>Journal of Electroanalytical Chemistry</i> 538-539:183-190 (2002)		
	30	Buriak, "Organometallic Chemistry on Silicon and Germanium Surfaces," <i>Chem. Rev.</i> 102:1271-1308 (2002)		
	31	Wojtyk et al., "Modification of Porous Silicon Surfaces with Activated Ester Monolayers," <i>Langmuir</i> 18:6081-6087 (2002)		
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	33	Murray et al., "Synthesis and Characterization of Nearly Monodisperse CdE (E = S, Se, Te) Semiconductor Nanocrystallites," <i>J. Am. Chem. Soc.</i> 115:8706-8715 (1993)		
	34	Murray et al., "Synthesis and Characterization of Monodisperse Nanocrystals and Close-Packed Nanocrystal Assemblies," <i>Annu. Rev. Mater. Sci.</i> 30:545-610 (2000)		
	35	Fojtik et al., "Formation of Nanometer-Size Silicon Particles in a Laser Induced Plasma in SiH ₄ ," <i>Ber. Bunsenges. Phys. Chem.</i> 97:1493-1496 (1993)		
	36	Fojtik et al., "Luminescent Colloidal Silicon Particles," <i>Chem. Phys. Lett.</i> 221:363-367 (1994)		

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